**PATENT** 

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (Atty. Docket No. 6119.00010)

In re Application of: Scott Johnston, et al	)
•	) Group Art Unit: T/B/D
Serial No.: 10/676,318	)
	) Examiner: T/B/D
Filed: October 1, 2003	)
	) Confirmation No.
For: Order Risk Management System	)
	)

## INFORMATION DISCLOSURE STATEMENT

Mail Stop Non Fee Amendment Commissioner for Patents Alexandria VA 22313

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97-1.98, Applicants wish to make the following references listed on the enclosed Form PTO/SB/08A of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. A copy of the reference cited is enclosed.

Applicants believe no fees are due. However, the Commissioner is authorized to charge any fees that may be due to our Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

By:

Charles L. Miller

Reg. No. 43,805

Dated: December 10, 2003

12-11-03

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Alexandria, VA 22313-1450 on the date shown below.

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Signature

Total Number of Pages in This Submission

Application Number 10/676,318

Filing Date October 1, 2003

First Named Inventor Scott Johnston

Art Unit T/B/D

Examiner Name T/B/D

Attorney Docket Number 006119,00010

	2	ENCLOSURES (check all that apply)	
Fee Transmittal F	-om	Assignment Papers (for an Application)	After Allowance Communication to Group
Fee Attached	I	☐ Drawing(s)	Appeal Communication to Board of Appeals and Interferences
Amendment / Res	sponse	Licensing-related Papers	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Final		Petition	Proprietary Information
Affidavits/dec	claration(s)	Petition to Convert to a Provisional Application	Status Letter
Extension of Time	e Request	Power of Attorney, Revocation Change of Correspondence Address	Other Enclosure(s) (please identify below):
Express Abandor	nment Request	☐ Terminal Disclaimer ☐ Request for Refund	Form PTO/SB/08A (2 pages) 1 Cited Reference Postcard Receipt
Information Disclo	osure Statement	CD, Number of CD(s)	r Ostoaru Necerpt
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Response to Miss Incomplete Applic		The Commissioner is hereby authorize Account Number 19-0733.	d to charge any fees due to Deposit
Response to Parts under 3 1.52 or 1.53			
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or Individual name	Charles L. Miller		
Signature	Clarky 1.	M/	
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This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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			Exam	iner Name	T/B/D		
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Response to Missing Parts under 37 CFR 1.52 or 1.53							
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Firm or Charl Individual name	les L. Miller						
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Substitute for form 1449A/PTO

DEC 1 0 2003

Application Number 10/676,318

Filling Date October 1, 2003

STATEMENT BY APPLICATION

Art Unit T/B/D

**Examiner Name** 

Attorney Docket Number

T/B/D

006119.00010

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Sheet

U.S. PATENT DOCUMENTS					
	0.11	Document Number	Publication Date	Name of Patentee or Applicant of	Pages, Columns, Lines, Where Relevant
Examiner Initials *	Cite No.1	Number - Kind Code <sup>2</sup> (if known)	MM-DD-YYYY	Cited Document	Passages or Relevant Figures Appear
		US-6,016,483	01/18/2000	Rickard, et al	
		US- 6,195,647	02/27/2001	Martyn, et al	
		US- 6,263,321	07/17/2001	Daughtery, III	
		US- 6,282,521	08/28/2001	Howorka	
		US- 6,317,727	11/13/2001	May	
		US- 6,360,210	03/19/2002	Wallman	
		US- 6,421,653	07/16/2002	May	
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		FOREIGN PA	TENT DOCU	MENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document  Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> ( <i>if known</i> )	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sub>6</sub>

4	THE CONTRACT OF THE PROPERTY O	The Contract of the Contract o	
Examiner Signature		Date Considered	

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Substitute for form 1449A/PTO Complete if Known **Application Number** 10/676,318 INFORMATION DISCLOSURE Filing Date October 1, 2003 STATEMENT BY APPLICANT First Named Inventor Scott Johnston, et al T/B/D Group Art Unit (use as many sheets as necessary) T/B/D **Examiner Name** of 2 **Attorney Docket Number** 006119.00010 Sheet

		OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS	,
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		Introduction to the International Securities Exchange, International Securities Exchange, pp. 1-12, 1999	
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Examiner Signature		Date Considered	

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1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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22313-1450.

In the Application of: Scott Johnston, et al

Serial No.: 10/676,318

Title: Order Risk Management System

X Form PTO/SB/21 (in duplicate)

X Information Disclosure Statement

X Form PCT/SB/08A (2 pages)

X Cited Reference

X Postcard

Attorney Docket No.: 6119.00010